STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING INFORMATION DISCLOSURE STATEMENT	Docket No. 14846-30

In Re Application Of: ANDREW DODDINGTON

Serial No. TBA	Filing Date October 30, 2003	Examiner TBA	Group Art Unit TBA

Invention: GRAPHICAL SOFTWARE TOOL FOR MODELING FINANCIAL PRODUCTS

TO THE COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.
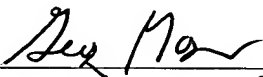
Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

☐   Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

☒   No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

_____
Signature

Dated: October 30, 2003

George Morgan, Esq., (Reg. No. 46,505)
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973-597-2500

Certificate of Mailing by First Class Mail

I certify that this document is being deposited on October 30, 2003 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

_____
Signature of Person Mailing Correspondence

Kelly Billingsley

Typed or Printed Name of Person Mailing Correspondence

CC:

P10C/REV02

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

ATTY DOCKET NO. 14846-30	SERIAL NO. TBA

Graphical Software Tool For Modeling Financial Products

FILING October 30, 2003	GROUP TBA

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1	US 4,674,042	6/16/87	Hernandez et al.			
	2	US 4,859,187	8/22/89	Peterson			
	3	US 5,093,907	3/3/92	Hwong et al.			
	4	US 5,245,535	9/14/93	Weis et al.			
	5	US 5,381,470	1/10/95	Cambray et al.		.	
	6	US 5,396,621	3/7/95	Mac Gregor et al.			
	7	US 5,502,805	3/26/96	Anderson et al.			
	8	US 5,623,591	4/22/97	Cseri			
	9	US 5,657,437	8/12/97	Bishop et al.			
	10	US 5,657,460	8/12/97	Egan et al.			
	11	US 5,664,127	9/2/97	Anderson et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES	NO
	12	EP-0597316	5/18/94	EP				
	13	WO-02069212	9/6/02	WO				
	14	WO-002256	1/13/00	WO				

OTHER DOCUMENTS   *(Including Author, Title, Date, Pertinent Pages, Etc.)*

		Spreadsheet Mapper, www.panopticon.com GS-Calc 6.0.1.1, from download.com TCS 4.20 from download.com
		Davenport, G. Harper, Numbers-a medium that counts (spreadsheet software), (Abstract) J.D. Computer Graphics and Applications, IEEE

EXAMINER	DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION *(Use several sheets if necessary)*			ATTY DOCKET NO. 14846-30		SERIAL NO. TBA
			Graphical Software Tool For Modeling Financial Products		
			FILING **October 30, 2003**	GROUP **TBA**	

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	15	US 5,675,746	10/7/97	Marshall			
	16	US 5,721,847	2/24/98	Johnson			
	17	US 5,768,158	6/16/98	Adler et al.			
	18	US 5,774,878	6/30/98	Marshall			
	19	US 6,008,817	12/28/99	Gilmore Jr.			
	20	US 6,073,115	6/6/00	Marshall			
	21	US 6,078,901	6/20/00	Ching			
	22	US 6,092,050	7/18/00	Lungren et al.			
	23	US 6,097,391	8/1/00	Wilcox			
	24	US 6,185,582	2/6/01	Zellweger et al.			
	25	US 6,188,403	2/13/01	Sacerdoti et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS *(Including Author, Title, Date, Pertinent Pages, Etc.)*

		Synder, D.E. McNeese, M.D., Zaff, B.S., Identifying design requirements using integrated analysis structures, (Abstract) Aerospace and Electronics Conference, 1991, NAECON, 1991
		Gottfried, H.J. Burnett, M.M.; Graphical definitions: making spreadsheets visual through direct manipulation and gestures, Visual Languages, (Abstract) 1997. Proceedings. 1997 IEEE Symposium.

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	FILING October 30, 2003	GROUP TBA

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	26	US 6,188,405	2/13/01	Czerwinski et al.			
	27	US 6,195,092	2/27/01	Dhond et al.			
	28	US 6,205,453	3/20/01	Tucker et al.			
	29	US 6,222,557	4/24/01	Pulley IV et al.			
	30	US 6,243,093	6/5/01	Czerwinski et al.			
	31	US 6,256,649	7/3/01	Mackinlay et al.			
	32	US 6,271,863	8/7/01	Bose et al.			
	33	US 6,282,551	8/28/01	Anderson et al.			
	34	US 6,317,750	11/13/01	Tortolani et al.			
	35	US 6,347,307	2/12/02	Sandhu et al.			
	36	US 6,360,188	3/19/02	Freidman et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES	NO

OTHER DOCUMENTS   *(Including Author, Title, Date, Pertinent Pages, Etc.)*

		Buchner, J. Fehnl, T. Kunstmann, T.: HotDoc: a flexible framework for spatial composition, (Abstract) Visual Languages, 1997. Proceedings. 1997 IEEE Symposium.
		Spoerri, A.; Visual tools for information retrieval, (Abstract) Visual Languages, 1993, Proceedings 1993 IEEE Symposium.

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	37	US 6,363,393	3/26/02	Ribitzky			
	38	US 6,405,204	6/11/02	Baker et al.			
	39	US 6,496,832	12/17/02	Chi et al.			
	40	US 6,597,379	7/22/03	Morris et al.			
	41	2002/0007330	1/17/02	Kumar et al.			
	42	2002/0067373	6/6/02	Roe et al.			
	43	2002/0073005	6/13/02	Wellnicki et al.			
	44	2002/0078086	6/20/02	Alden et al.			
	45	2002/0133383	9/19/02	Chao et al.		.	
	46	2002/0147668	10/10/02	Smith et al.			
	47	2003/0009411	1/9/03	Ram et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
								.

OTHER DOCUMENTS *(Including Author, Title, Date, Pertinent Pages, Etc.)*

			Chi, E.H. Riedl, J. Barry, P. Konstan, J.A.; Principles for information visualization spreadsheets, (Abstract) Computer Graphics and Applications, IEEE.
			Stolte, C. Tang, D, Hanrahan, P.; Polaris: a system for query, analysis, and visualization of multidimensional relational databases, (Abstract) Visualization and COmputer Graphics, IEEE Transactions.

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Graphical Software Tool For Modeling Financial Products

FILING	GROUP
October 30, 2003	**TBA**

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	48	2003/0061132	3/27/03	Yu et al.			
	49	2003/0061137	3/27/03	Leung et al.			
	50	2003/0093351	5/15/03	Sarabanchong			

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